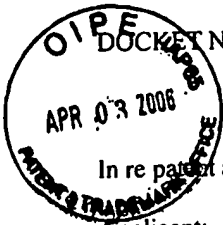


SFW 2/21 ✓



DOCKET NO.: MS131753.03/MSFTP222USB

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **David Maxwell Chickering, et al.**
Serial No.: **09/430,767**
Filed: **October 29, 1999**
For: **CLUSTER-BASED AND RULE BASED APPROACH FOR AUTOMATED WEB-BASED
TARGETED ADVERTISING WITH QUOTAS**
Art Unit: **2121**
Examiner: **Wilbert L. Starks**

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).

Serial No.: _____
Filing Date: _____

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

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- (a) ☐ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☐ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
- (c) ☐ Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.

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(d) ☒ After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) ☐ The required certification is given below, or

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(i) ☐ Enclosed is a check covering the fee;

(ii) ☐ Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or

(iii) ☒ Enclosed is a credit card payment form covering the fee.

(e) ☐ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below. Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement:

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(3) ☐ Enclosed is a credit card payment form covering the fee.

4. Certification (if applicable)


(a) ☐ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) ☐ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

By


Himanshu S. Amin
Reg. No. 40,894

Amin & Turocy, LLP
24TH Floor, National City Center
1900 East 9th Street
Cleveland, Ohio 44114
(216) 696-8730

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

3-28-06
Date


Christina M. Padamonsky



PTO/SB/08a (08-03)

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**SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

1

of

2

Complete if Known

Application Number	09/430,767
Filing Date	October 29, 1999
First Named Inventor	David Maxwell Chickering
Art Unit	2121
Examiner Name	Wilbert L. Starks
Attorney Docket Number	MS131753.03/MSFTP222USB

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
/WS/		US- 6,876,974	04-05-2005	Marsh, et al.	
/WS/		US- 6,463,585	10-08-2002	Hendricks, et al.	
/WS/		US- 6,286,005	09-04-2001	Cannon	
/WS/		US- 5,635,978	06-03-1997	Alten, et al.	
/WS/		US- 5,848,397	12-08-1998	Marsh, et al.	
/WS/		US- 6,026,369	02-15-2000	Capck	
/WS/		US- 6,055,510	04-25-2000	Henrick, et al.	
/WS/		US- 6,128,663	10-03-2000	Thomas	
/WS/		US- 6,134,532	10-17-2000	Lazarus, et al.	
/WS/		US- 6,665,653	12-16-2003	Heckerman, et al.	
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		US-			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁴
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

Examiner
Signature

/Wilbert L. Starks, Jr./

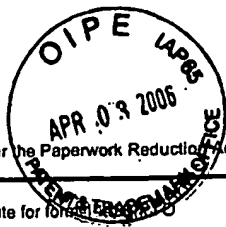
Date
Considered

04/15/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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Application Number	09/430,767
Filing Date	October 29, 1999
First Named Inventor	David Maxwell Chickering
Art Unit	2121
Examiner Name	Wilbert L. Starks
Attorney Docket Number	MS131753.03/MSFTP222USB

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/WS/		R. DEDRICK; "A Consumption Model for Targeted Electronic Advertising", IEEE Multimedia, Summer 1995, p. 41-49, vol. 2, no. 2	
/WS/		R.R. YAGER; "Targeted e-commerce marketing using fuzzy intelligent agents", IEEE Intelligent Systems, November-December 2000, p.42-45, vol. 15, no. 6	
/WS/		M. CHARIKAR, et al.; "On Targeting Markov Segments", Proceedings of the Thirty-First Annual ACM Symposium on Theory of Computing, 1999, pp.99-108	
/WS/		CHICKERING, et al.; "Targeted Advertising with Inventory Management", EC'00, 2000, pp. 1-5	
/WS/		CHICKERING, et al.; "A Decision Theoretic Approach to Targeted Advertising", Microsoft Research, pp. 1-7	
/WS/		CHICKERING, et al.; "Goal-Oriented Clustering", Technical Report, May 2000, p.1-9	
/WS/		DAVID HECKERMAN; "A Tutorial on Learning with Bayesian Networks", Technical Report, March 1995, pp. 1-57	
/WS/		M. LANGHEINRICH, et al.; "Unintrusive Customization Techniques for Web Advertising", http://www8.org/w8-papers/2b-customizing/unintrusive/unintrusive.html , Viewed November 28, 2000, p. 1-19	

Examiner
Signature

/Wilbert L. Starks, Jr./

Date
Considered

04/15/2007

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DOCKET NO.: MS131753.3/MSFTP222USB

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **David E. Heckerman, et al.**

Serial No.: **09/430,767**

Filed: **October 29, 1999**

For: **CLUSTER-BASED AND RULE-BASED APPROACH FOR AUTOMATED WEB-BASED
TARGETED ADVERTISING WITH QUOTAS**

Art Unit: **2121**

Examiner: **Wilbert L. Starks**

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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Serial No.:	<u>60/142,330</u>	<u>09/430,737</u>	<u>09/565,583</u>
Filing Date:	<u>7/3/1999</u>	<u>10/29/1999</u>	<u>5/4/2000</u>

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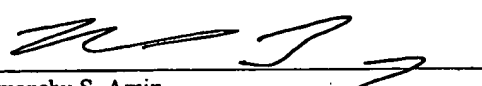
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Respectfully Submitted,

By

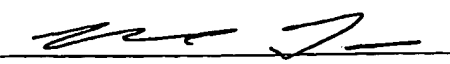

Himanshu S. Amin
Reg. No. 40,894

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24TH Floor, National City Center
1900 East 9th Street
Cleveland, Ohio 44114
(216) 696-8730

CERTIFICATE OF MAILING

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Date


Himanshu S. Amin



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Application Number

09/430.767

Filing Date

October 29, 1999

First Named Inventor

David E. Heckerman, et al.

Art Unit

2121

Examiner Name

Wilbert L. Starks

Attorney Docket Number

MS131753.3/MAFTP222USB

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature	Wilbert L. Starks, Jr./	Date Considered	04/15/2007
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Complete If Known

Application Number

09/430,767

Filing Date

October 29, 1999

First Named Inventor

David E. Heckerman, et al.

Art Unit

2121

Examiner Name

Wilbert L. Starks

Attorney Docket Number

MSI31753.3/MAFTP222USB

NON PATENT LITERATURE DOCUMENTS

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**Examiner
Signature**

/Wilbert L. Starks, Jr./

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